



EFW  
3624

DOCKET NO.: REFH-0153

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:

**Frederick S.M. Herz, Lyle H. Ungar,  
Jason M. Eisner, and Walter P. Labys**

Confirmation No.: 3878

Application No.: 10/054,057

Group Art Unit: 3624

Filing Date: January 22, 2002

Examiner: Debra F. Charles

For: **STOCK MARKET PREDICTION USING NATURAL LANGUAGE  
PROCESSING**

DATE OF DEPOSIT: May 23, 2005

I HEREBY CERTIFY THAT THIS PAPER IS BEING  
DEPOSITED WITH THE UNITED STATES POSTAL  
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ADDRESSED TO THE COMMISSIONER FOR PATENTS,  
P.O. BOX 1450, ALEXANDRIA, VA 22313-1450.

TYPED NAME: Michael P. Dunnam  
REGISTRATION NO.: 32,611

☒ MS Amendment ☐ MS AF  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

REPLY TRANSMITTAL LETTER

- ☐ A Preliminary Amendment.
- ☒ A Reply Responsive to the Office Action Dated February 23, 2005.
- ☐ A Reply Supplemental to the Paper filed
- ☒ A Substitute Specification (pages 1 - 27) in clean form.
- ☒ A substitute specification (pages 1 - 27) with markings.
- ☐ An Abstract is enclosed.
- ☐ replacement sheets of drawings are enclosed comprising figures

- ☐ Request is hereby made to accept black and white photograph(s) in this case, as they are the only practicable medium for illustrating the claimed invention. One (1) set of black and white photographs comprising figure(s) is submitted herewith.
- ☐ Petition is hereby made to accept drawing(s)/photograph(s) in this case.
- ☐ Three (3) sets of color drawing(s)/photograph(s) and black and white photocopy that accurately depicts to the extent possible, the subject matter shown in the color drawing(s)/photograph(s), are enclosed, comprising figures
- ☐ An amendment to the first paragraph in that portion of the Brief Description of the Drawings is also enclosed herewith advising that the patent contains at least one drawing/photograph in color.
- ☐ A Certified Copy of each of the following applications: is enclosed.
- ☐ An Assignee Power of Attorney is enclosed.
- ☐ Information Disclosure Statement.
- ☐ Attached Form 1449.
- ☐ A copy of each reference as listed on the attached Form PTO-1449 is enclosed herewith.
- ☐ A Terminal Disclaimer is attached.
- ☐ Appendices as follows:
- ☐ Other
- ☒ **No Additional Fee is Due.**
- ☒ Applicant(s) has previously claimed small entity status under 37 CFR § 1.27.
- ☐ Applicant(s) by its/their undersigned attorney, claims small entity status under 37 CFR § 1.27 as
- ☐ This application is no longer entitled to small entity status. It is requested that this be noted in the files of the U.S. Patent and Trademark Office.

				SMALL ENTITY		NOT SMALL ENTITY	
	REMAINING AFTER AMENDMENT	HIGHEST PAID FOR	EXTRA	RATE	FEE	RATE	FEE
TOTAL CLAIMS	5	20 (20 MINIMUM)	0	\$25 EACH	\$0	\$50 EACH	\$
INDEP. CLAIMS	1	3 (3 MINIMUM)	0	\$100 EACH	\$0	\$200 EACH	\$
FIRST PRESENTATION OF MULTIPLE DEPENDENT				\$180	\$0	\$360	\$
<input type="checkbox"/> ONE MONTH EXTENSION OF TIME				\$60	\$0	\$120	\$
<input type="checkbox"/> TWO MONTH EXTENSION OF TIME				\$225	\$0	\$450	\$
<input type="checkbox"/> THREE MONTH EXTENSION OF TIME				\$510	\$0	\$1020	\$
<input type="checkbox"/> FOUR MONTH EXTENSION OF TIME				\$795	\$0	\$1590	\$
<input type="checkbox"/> FIVE MONTH EXTENSION OF TIME				\$1080	\$0	\$2160	\$
<input type="checkbox"/> LESS ANY EXTENSION FEE ALREADY PAID				minus	(\$0)	minus	(\$ )
<input type="checkbox"/> TERMINAL DISCLAIMER				\$65	\$0	\$130	\$
<input type="checkbox"/> OTHER FEE OR SURCHARGE AS FOLLOWS:					0		
TOTAL FEE DUE					\$0		\$


- ☐ A check in the amount of \$\_\_\_\_.00 is attached. Please charge any deficiency or credit any overpayment to Deposit Account 23-3050.
- ☐ Please charge Deposit Account No. 23-3050 in the amount of \_\_\_\_\_.00. This sheet is attached in duplicate.
- ☐ Petition is hereby made under 37 CFR § 1.136(a) (fees: 37 CFR § 1.17(a)(1)-(4)) to extend the time for response to the Office Action of \_\_\_\_\_ to and through \_\_\_\_\_ comprising an extension of the shortened statutory period of \_\_\_\_\_ month(s).

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- ☒ The Commissioner is hereby requested to grant an extension of time for the appropriate length of time, should one be necessary, in connection with this filing or any future filing submitted to the U.S. Patent and Trademark Office in the above-identified application during the pendency of this application. The Commissioner is further authorized to charge any fees related to any such extension of time to Deposit Account 23-3050. This sheet is provided in duplicate.

Date: May 23, 2005

  
\_\_\_\_\_  
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Application No.: 10/054,057  
Office Action Dated: February 23, 2005

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Alexandria, VA 22313-1450

Sir:

**REPLY PURSUANT TO 37 CFR § 1.111**

In response to the Official Action dated **February 23, 2005**, reconsideration is respectfully requested in view of the amendments and/or remarks as indicated below:

- ☒ **Amendments to the Specification** begin on page 2 of this paper.
- ☒ **Amendments to the Claims** are reflected in the listing of the claims which begins on page 3 of this paper.
- ☐ **Amendments to the Drawings** begin on page \_\_\_\_\_ of this paper and include an attached replacement sheet.
- ☒ **Remarks** begin on page 5 of this paper.